

ASSIGNMENT

UCSD Case No. SD-98-117

C&F Docket # P-UD 3558

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Martin F. Yanofsky
2. Sarah Liljegren
3. Cristina Ferrandiz
4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, A California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

SELECTIVE CONTROL OF LIGNIN BIOSYNTHESIS IN TRANSGENIC PLANTS

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. application serial no. 09/339,998, filed on June 25, 1999
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

4th day of August 1999
4th day of August 1999
4th day of August 1999

Signatures of Inventor(s)

Martin Yanofsky
Sarah Liljegren
Cristina Ferrandiz

DECLARATION FOR PATENT APPLICATION

As the below-named inventors, we hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **SELECTIVE CONTROL OF LIGNIN BIOSYNTHESIS IN TRANSGENIC PLANTS**, the specification of which

_____ is attached hereto as Attorney Docket No. _____.

 X was filed on **June 25, 1999**, as Application Serial No. **09/339,998** (Attorney Docket No. **P-UD 3558**).

and was amended on (or amended through) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It establishes, by itself or in combination with other

Inventors: Yanofsky et al.
Serial No.: 09/339,998
Filed: June 25, 1999
Page 2 of 3

or (2) It refutes, or is inconsistent with, a position the applicant takes in: (I) Opposing an argument of unpatentability relied on by the U.S. Patent and Trademark Office, or (ii) Asserting an argument of patentability.

I hereby claim the benefit under Title 35, United States Code, §119(e) of the United States application listed below,

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
60/090,649	6/25/98	Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: Martin F. Yanofsky

Inventor's signature:

Date:

Residence:

Citizenship:

Post Office Address:

Martin F. Yanofsky

8/4/99

San Diego, California

United States of America

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San Diego, California 92130

M.F. 8/4/99

108 Pennsylvania Ave.
San Diego, California 92103



A Recordation Form Cover Sheet and
an executed Assignment

P-UD 3558

Serial No.: 09/339,998

I hereby certify that this correspondence is being deposited with
the United States Postal Service as first class mail in an
envelope addressed to: Attention Box Missing Parts, Assistant
Commissioner for Patents, Washington, D.C. 20231, on
August 16, 1999.

By Andrea L. Gashler
Andrea L. Gashler, Reg. No. 41,029

August 16, 1999
Date of Signature

105101-222250

8-26-1999

Docket No.: P-UD 3558

FORM PTO-1585 (Modified)
(Rev. 6-93)
OMB No. 0651-0011 (exp. 4/94)
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SHEET

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Patent and Trademark Office

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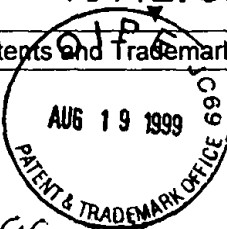
Y

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Martin F. Yanofsky
Cristina Ferrandiz
Sarah Liljegren



8-14-99

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Regents of the University of California

Internal Address: _____

Street Address: 1111 Franklin Street, 12th FloorCity: Oakland State: CA ZIP: 94607Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Execution Date: All executed on August 4, 1999

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/339,998

B. Patent No.(s)

08/20/1999 ABRAHAM 00000022 09339998

05 FD:581

(40.00 01)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Cathryn CampbellInternal Address: CAMPBELL & FLORES LLPStreet Address: 4370 La Jolla Village Drive, Suite 700City: San Diego State: CA ZIP: 92122

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

03-0370

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Andrea L. Gashler, Reg. No. 41,029

Name of Person Signing

Andrea L. Gashler

Signature

Aug. 16, 1999

Date

Total number of pages including cover sheet, attachments, and document:

2



POP 3328
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

OCTOBER 26, 1999

PTAS

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101127904A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/19/1999 ✓

REEL/FRAME: 010185/0267
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

YANOFSKY, MARTIN F.

DOC DATE: 08/04/1999

ASSIGNOR:

FERRANDIZ, CRISTINA

DOC DATE: 08/04/1999

ASSIGNOR:

LILJEGREN, SARAH

DOC DATE: 08/04/1999

ASSIGNEE:

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SERIAL NUMBER: 09339998
PATENT NUMBER:

FILING DATE: 06/25/1999
ISSUE DATE:

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MAYA BENNETT, EXAMINER
ASSIGNMENT DIVISION
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